



# CSBG and DOE Webinar: ARRA Data Reporting Requirements

September 10, 2009

3:30 – 4:30 pm



# CSBG / DOE Programs Collaboration

- Presenters:

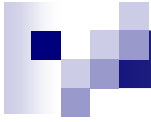
- ☐ Blaise Keenan
- ☐ Kimberly Petz
- ☐ Kathy Ely

- CSD's Program Units are working collaboratively to ensure consistency in program implementation.



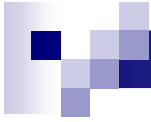
# Purpose

- Establish an understanding of new data reporting requirements and processes.
  - California ARRA Accountability Tool (CAAT)
- Convey the importance of accountability and transparency that come with the receipt of ARRA funds.



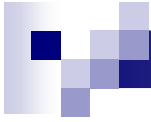
# Transparency and Accountability

- ARRA: the largest single expenditure mandated by legislation in U.S. History (source: Newsmax.com, 2/14/09)
- Unprecedented scrutiny



# Transparency and Accountability

- Primary purpose of these new reporting requirements:
  - To make outcomes of the spending as measurable as possible.
- These requirements enhance the ability of the Federal government to determine whether:
  - the spending meets its intended purposes
  - those purposes are justifiable.



# Overview of Roles and Directives

- Federal Requirements
- Reporting Classifications and Roles



# Federal Requirements

- Office of Management and Budget (OMB) Memorandum M-09-21, *Implementing Guidance for the Reports on Use of Funds Pursuant to ARRA*, outlines the process and requirements at all levels.



# Federal Requirements: Reporting Classifications and Roles

- Two primary classifications of reporters:
  - Prime Recipients
  - Sub-Recipients of the Prime Recipients
- Secondary classification:
  - Vendors



# Federal Requirements: Reporting Classifications and Roles

## ■ Prime Recipients

- Receive funding directly from the assigning Federal Agency.
- CSBG ARRA funds
  - CSD: Prime Recipient of funds from the Federal Office of Community Services.
- DOE ARRA funds
  - CSD: Prime Recipient of funds from the Federal Department of Energy.




# Federal Requirements: Reporting Classifications and Roles

- Sub-Recipients of the Prime Recipient

- CSBG: Eligible Entities

- DOE: Energy Service Providers



# Federal Requirements: Reporting Classifications and Roles

## ■ Vendors

- Dealers, distributors, merchants, or other sellers providing goods or services that are required for the conduct of a Federal program.



# Federal Requirements: Reporting Classifications and Roles

## ■ Vendors

### □ Distinctions from Sub-Recipients:

- Provide goods and services within normal business operations.
- Provide similar goods or services to many different purchasers.
- Operate in a competitive environment.
- Provide goods and services that are ancillary to the operation of the Federal program.
- Not subject to compliance of the Federal program.



# Federal Requirements: Reporting Classifications and Roles

- Vendors, examples

- Goods: Home Depot

- Services: IT Consultants, Accountants



# Federal Requirements: Reporting Classifications and Roles

- Vendors

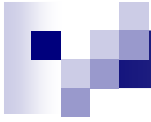
- Payments over \$25,000

- DUNS and/or name and zip code of vendor headquarters are required.



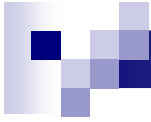
# State Role

- California: “centralized” reporting state for ARRA.
  - “Centralized” means that ARRA data for all State departments that receive ARRA funds are collected and reported through one centralized system.
  - That system is the California ARRA Accountability Tool (CAAT)
    - administered by the Office of the Chief Information Officer (OCIO).



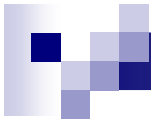
# CAAT

- General Work Flow
- Elements Review: Tips, Explanations, and Cautions



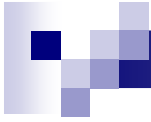
# CAAT: General Work Flow

- Sub-recipients submit completed Excel spreadsheets to CSD.
- CSD will review.
  - Upon reviewing, CSD will submit and approve to CAAT.
  - Please prepare spreadsheets as if you were submitting to OCIO yourself, for final approval.



# CAAT: General Work Flow

- For upcoming 9/11/09 data call, follow same process as the recently completed initial submission.
- Submit completed spreadsheets to the following addresses:
  - CSBG: [CSBGRecovery@csd.ca.gov](mailto:CSBGRecovery@csd.ca.gov)
  - DOE: [DOEARRA@csd.ca.gov](mailto:DOEARRA@csd.ca.gov)
- After next completed submission process, CSD will attempt to create templates with static elements completed.




# CAAT: Spreadsheet Caution

- **DO NOT** alter the template in any way!
  - Template will only successfully upload to CAAT website in its current format.
  - Do not add rows, columns, tabs, new items, or anything else to the existing format.
  - Only enter data in required cells.




# CAAT Elements Review: Tips, Explanations, and Cautions

- First three categories highlighted in yellow
  - Please leave blank for now. CSD will complete these for now.




# CAAT Elements Review: Tips, Explanations, and Cautions

- Subrecipient Legal Name, Subrecipient DUNS No.
  - Need to match exactly (by character, case, spacing, etc.) to entries on CCR online registry.
  - Subrecipient DUNS No., more:
    - Must be nine digits.
    - When first digit is “0”, use an apostrophe immediately before the ‘0.



# CAAT Elements Review: Tips, Explanations, and Cautions


- Sub award number:
  - Will always be contract number.
  - Format:
    - CSBG: 09F-XXXX
    - DOE: 09C-XXXX



# CAAT Elements Review: Tips, Explanations, and Cautions

## ■ Sub-recipient Address Category

- ☐ Subrecipient DBA name: must match exactly to entry on CCR website.
- ☐ Address information: must match entry on CCR website.
- ☐ Subrecipient U.S. Congressional District
  - For agencies with multiple districts, use the district for the address of your agency's headquarters, as listed on the Primary Place of Performance address. Must be 2 digits (ex. 01).




# CAAT Elements Review: Tips, Explanations, and Cautions

- Sub-recipient Address Category

- Amount of Subaward

- CSBG: Should match contract amount as listed on CSD CSBG ARRA Contract listing.
    - DOE: Dollar amount that matches current fully executed contract.



# CAAT Elements Review: Tips, Explanations, and Cautions


## ■ Project Activity Location Category

- Subrecipient Primary Place of Performance (POP) – Street Address 1: should be address where operations physically take place.
- Subrecipient Primary POP U.S. Congressional, State Senate, and State Assembly Districts
  - Follow same guidelines as Sub-Recipient Address U.S. Congressional District element.



# CAAT Elements Review: Tips, Explanations, and Cautions

- Officers/Compensation Category
  - Subrecipient indication of Reporting Applicability
    - Names and compensation of each of the 5 most highly compensated officers of the sub-recipient for the calendar year in which the award was awarded.



# CAAT Elements Review: Tips, Explanations, and Cautions

## ■ Officers/Compensation Category

- Sub-Recipients only required to report if the following requirements are met:
  - 80% or more of entity's annual gross revenue was from Federal contracts, loans, grants, and cooperative agreements.
  - Entity received \$25 million or more in annual gross revenues from Federal contracts, loans, grants, and cooperative agreements.
  - The public does not have access to information about the compensation of the senior executives through reports to the IRS or SEC.



# CAAT Elements Review: Tips, Explanations, and Cautions

## ■ Number of Jobs

- ☐ Number of jobs created and jobs retained.
- ☐ At minimum, number of jobs created and retained directly funded by ARRA.
- ☐ Count is cumulative; i.e. the total for all reporting periods combined.
- ☐ A job “retained” means that it would have been lost if not for ARRA funding.




# CAAT Elements Review: Tips, Explanations, and Cautions

- Number of Jobs, cont'd:

- Shall be expressed as Full-Time Equivalents (FTE)

- Formula:


- $$\frac{\text{Cumulative ARRA-funded hours worked (Qtr 1...n)}}{\text{Cumulative hours in a full-time schedule (Qtr 1...n)}} = \text{FTE}$$



# CAAT Elements Review: Tips, Explanations, and Cautions


## ■ Description of Jobs Created

- Narrative description of the types of jobs created and/or retained by ARRA funded work, and the impact of those jobs.
  - Example: 3 new staff were on unemployment and have been hired. Positions will be kept after ARRA ends.



# CAAT Elements Review: Tips, Explanations, and Cautions

- Description of Jobs Created, cont'd.
  - Acceptable descriptions:
    - Job titles
    - Broad labor categories, like industry classification
    - Your existing practice for description, as long as terms used are widely understood and describe the general nature of the work.



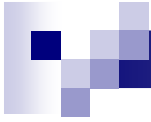
# CAAT Elements Review: Tips, Explanations, and Cautions

- Description of Jobs Created, cont'd.
  - Narrative shall also include impact on workforces of sub-recipients and vendors.
  - Narrative description is cumulative across reporting periods, similar to Number of Jobs.



# Web Links

- [http://www.whitehouse.gov/omb/memoranda\\_default/](http://www.whitehouse.gov/omb/memoranda_default/): for OMB memo M-09-21.
- Spreadsheet submission:
  - CSBG: [CSBGRecovery@csd.ca.gov](mailto:CSBGRecovery@csd.ca.gov)
  - DOE: [DOEARRA@csd.ca.gov](mailto:DOEARRA@csd.ca.gov)
- [www.ccr.gov](http://www.ccr.gov)



# Questions & Answers